Party Module – Business Rules - Detailed

> For additional information on data entry including business processes and more business rules, visit the CIWQS intranet page at http://waternet.waterboards.ca.gov/oima/ciwqs/index.shtml.

As with other CIWQS modules, the Parties Module is comprised of several tabs. This business rules document starts with a general discussion of party records and then describes each of the following tabs:

- General Info
- Related Parties
- Related Places
- Related Violations
- Related Regulatory Measures
- Naming Conventions

Parties in CIWQS represent either people or organizations. Party records must exist before creating a new related regulatory measure[1].

An objective of the Party Module is to be able to see all of the regulatory measures to which a party is related. There are two ways in which this can be accomplished: relating a party directly to regulatory measures or relating parties to other parties that are in turn related to a regulatory measure. Directly linking parties to regulatory measures is the preferred method. The indirect method is only appropriate for organizations because you can make direct links between persons and regulatory measures.
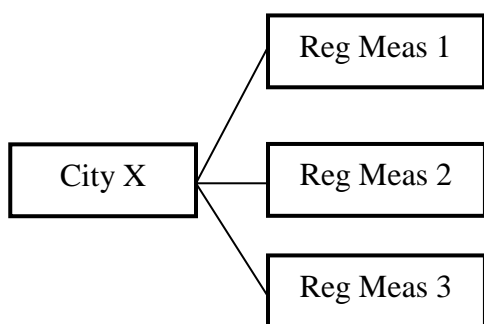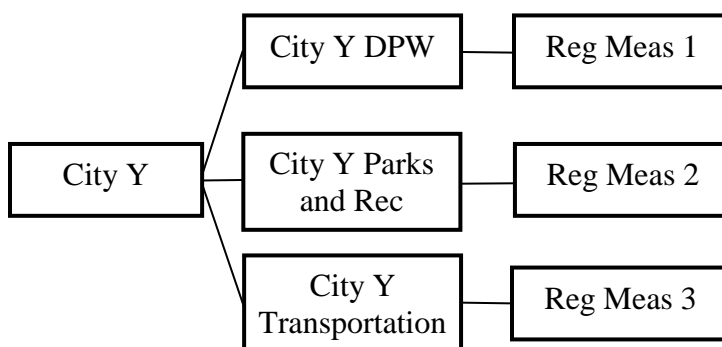
Directly Related   **Indirectly Related**

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[1] The Regulatory Measure Wizard process incorporates party creation within its steps.

For example, the City of Riverside may have a permit for its wastewater treatment plant through the public works department and construction stormwater permit through the transportation department. A party record for Riverside City PWD may be created as well as a record for Riverside City Transportation Dept. Both of these records must be related to the Riverside City record. The address for the Riverside City record is the address of city hall.

The structure of the relationships may be based on how an organization sees itself.

Organizations may want correspondences to be sent to different addresses for different regulatory measures. Accordingly, the mailing address of the party related to the regulatory measure with the relationship "Legally Responsible Official" should be used for official mailings. The party related to the regulatory measure with the relationship of "Discharger Contact" should be used for general mailings.

Note: parties may be linked to regulatory measures regulated by different regional board offices. Before making changes to a party record, please check the regional board office of related regulatory measures (you can use the Party At-A-Glance Report to do this). Coordinate changes with staff from other offices, if necessary. If the party is linked to regulatory measures that are regulated by multiple offices, CIWQS presents the following note on the "General Info" tab of the party record.

If changes are made to the "General Info" tab of such a party record, an email will be sent to the email address associated to the party that is linked as staff to the related regulatory measures. The CIWQS Coordinators for the regional board office that regulates the regulatory measures are cc'd. Emails are sent nightly and summarize the changes that were made throughout that day.

Additionally, users can click the "View Party History" button on the "General Info" tab of the party record to view the history of changes to that record. The name and ID of the person that made the change is identified in a pop-up box that appears when the user hoovers his/her mouse over the date the update was made.

General Info Tab

Party Type[*]
There are two types of parties in CIWQS: organizations and persons. When a new party record is created, the user gets to select whether a person is being created or an organization is being created. **Once this selection has been made, it cannot be changed.**

Party Name[*]
Enter the name of the party in accordance with the approved [Naming Conventions](#).

Do not create duplicate party records. Please see the Party Module workbook for guidance on avoiding duplicates.

Organization Classification[#]
For organizations, you must select an organization classification, which describes what kind of organization it is. Below is the list of applicable organization classifications to select from:

Classification	Description
City Agency	An organization that is part of a city's government.
Community Organization	A non-governmental organization, including, but not limited to Home-owners associations.
County Agency	An organization that is part of a county's government. This classification includes but is not limited to County Service Areas (CSA).
Federal Agency	An organization that is part of the federal government.
Government Agency Combination	An organization that is a collaboration of different public groups. This classification includes, but is not limited to joint powers agency
Private-Individual	This classification describes people that are acting as organizations. For example, this is appropriate when a person owns a construction site that requires a general storm water permit.
Privately-Owned Business	An organization that is not part of a government and not an individual. This classification includes, but is not limited to companies such as Shell, Pacific Gas & Electric, or mutual water companies.
Special District	This is a type of organization defined by regulation and includes, but is not limited to municipal water districts, drainage districts, school districts, and water districts that serve county areas. "County" may be in the organization's name but it is not part of the county government.
State Agency	An organization that is part of state government.

[*] Required field
[#] Conditionally required field.

Water Board	Either the State Water Resource Control Board or one of the Regional Water Quality Control Boards. Do not create new organizations with the classification of Water Board.

Party Reconciliation

Party reconciliation is the act of combining two party records, which represent the exact same party, into a single party record; thereby eliminating the problems associated with duplicate records. For reconciling, if the name in one party record is the same as the name in another party record and

1. they have the same address (or essentially the same address), they should be reconciled; or
2. only one of the records has an address (check the record for addresses other than mailing address if there is no mailing address), they should be reconciled to the one that has an address; or
3. if one of the addresses is a P.O. Box and one is a street address and the addresses are in the same city, they should be reconciled. The street address must be changed to the type of physical address.

Be sure to check that there is only one address type for each party before leaving the screen.

Work **only** with organizations that are dischargers for regulatory measures within your region.

If you are unsure if two organizations are the same, research the files or the internet, or call the organizations.

Upon saving the record for the first time, the possible selections of duplicates appear on a new screen. If there is at least one match select the button corresponding to one of the matches and click the "submit" button at the bottom of the page. If there are multiple records that represent the party you are entering, select one and later go back and reconcile the other duplicates. If there are no matches, select the "no duplicates found" button (the last row).

Initial Matches must have essentially the same address as the party being entered. Essentially the same address means that there may be capitalization differences or abbreviation differences, but the locations described are the same. There may be cases where there are typos in an address. If this appears to be the case, make a note to follow-up. Note that only the mailing address is displayed and there may be other address types listed within the record and these may assist in determining whether to reconcile the records or not.

If there are no Initial Matches, but there are entities with the same name, research must be done on potential matches. For potential matches, check the related regulatory measures of the potential matches. If the regulatory measure is within your region, communicate with the case manager of that regulatory measure. If the names should be the same but the addresses are different, review the naming conventions for possible naming alternatives that will help differentiate the parties. For example, if the water resources department has a Non 15 permit

and the transportation department has a storm water permit, and these departments have different addresses, then consider incorporating the names of the departments in the party names and linking these two parties to an overarching organization record. Do not change the address of a party related to a storm water enrollee.

Selecting the Party Reconciliation button from an existing party screen will allow you to check for duplicates with the party record that is currently open. If you select parties that can be reconciled (combined), the current record you are on will remain and the other records will no longer be accessible.

Status*
Once a party's status is set to "active," it should not be changed.

Address Type
The address type field describes how a given address should be used. The mailing address is the primary address to be recorded. There may be no more than one of each type.

The table below describes the available types:

Type	Description
Billing	Address to which bills should be sent. Only organizations associated with stormwater records should use this type of address but these addresses should not be edited in CIWQS core.
Mailing	Address to which correspondence should be sent
Physical	Physical address where the party is located. P.O. boxes are not appropriate as physical addresses.

Contact Information Type
This section is to record other ways (besides an address) of contacting the party.

Below is a list of the applicable contact information types.

Contact Type	Description
Cellular	The cellular phone number for the party
Emergency Phone	The number to call to reach the party during an emergency
Fax	The number to which faxes to the party should be sent
Pager	The number to call when paging the party
Website	The URL for the website on which information about the party can be found
Work Email	The email address that the party uses to correspond regarding work
Work Phone	The phone number that the party uses to communicate regarding work

One number may be applicable to multiple types. For example, if a contact number is both a phone number and a fax number, use the same for both types.

A phone number extension may be entered. The extension can only be numeric characters.

Identifiers
The only identifier appropriate for organizations is the FEIN or Federal Employer Identification Number. It is a tax identification number.

The only identifier appropriate for persons is the Operator Certification Number.

<u>*Related Parties Tab*</u>

This tab is for recording relationships with other parties. Relationships that are relevant to being regulated by the Water Board, such as when an organization's subdivisions are related with multiple regulatory measures, should be recorded here. In addition to creating relationships to other parties, persons and organizations may be linked to places within this module. See the Related Places Tab of this document for more information. Links to regulatory measures, inspections, and violations may only be made from those respective modules. See the separate business rules documents (available at http://waternet/oit/ciwqs/html/qualityassurance.html) for each of these modules for more information.

Below are the available party-to-party relationships and associated descriptions.

Organization to Organization Relationships

Relationship	Description
Contracted With/Contracted by	The relationship between two parties where one is contracted with the other
Division/Department Of/Has a Division/Department of	The relationship between two public parties where one is a subdivision of another; for example, a public works department is a Division/Department of a city or a Caltrans district is a department of Caltrans.
In An Agreement With	A relationship between two parties that are working together. It includes but is not limited to partnerships, MOUs, and easement agreements
Managed by/Manages	A specific relationship between two parties when a court has given control of once party to another; for instance, in bankruptcy, etc.
Member of/Includes (as part of a membership)	A relationship between two parties in which one is an organization in which the other is a part of. For example, a farming company is a member of a coalition.

Owned by/Owns	A relationship between two parties in which one owns the other. It includes but is not limited to subsidiaries

The organization-to-organization relationship does not display in reverse.

Person to Organization Relationships

Relationship	Description
Board member	The relationship of a person to an organization where the person is a member of a board
Data Submitter	The person or people that have authority to enter data electronically for the organization but do not have signatory authority.
Employee	The relationship of a person to an organization where the person is employed by the organization. In many cases, a data submitter or legally responsible official is also an employee. In these cases only the more specific role must be used.
Interested Party	An organization or person (affiliated or unaffiliated) that has expressed interest in another party.
Legally Responsible Official[#]	The person or people that have signatory authority for the organization.

All Organizations that are regulated must have a linked person with the relationship of Legally Responsible Official (LRO).

Person at Organization to Person Relationships

Relationship	Description
Supervised by	Use this to define the relationship of two people where one is the direct supervisor of the other.

The person at organization to person or organization does not display in reverse.

Related Places Tab

Regulated organizations must be linked to a place (with place type of "facility" or child [or sub-type] of facility) with one of the following relationships: "owner," "operator," or "owner and operator."

Organization to Places

[#] Conditionally required field

Relationship	Description
Interested Party	External organization that has expressed interest in the place. For example, Environmental Organization or complainant.
Jurisdiction Over	This role is for external organizations having responsibility for a place.
Operator[#]	Organization that operates a facility. If the operator is named as a discharger in the order, then the operator must be linked to the place. This relationship is required if neither "owner" nor "Owner and Operator" is used.
Owner[#]	Organization that owns or leases a facility. Unless otherwise noted, this includes the land on which the facility is located. If the owner is named as a discharger in the order, then the owner must be linked to the place. This relationship is required if neither "Operator" nor "Owner and Operator" is used.
Owner and Operator[#]	An organization that owns (or leases) and operates a facility. Unless otherwise noted, this includes the land on which the facility is located. If the owner and operator are named as a single discharger in the order, then the owner and operator must be linked to the place. This relationship is required if neither "Operator" nor "Owner" is used.
Land Owner	Organization that owns the land on which a facility is located. This relationship is not needed if the facility owner also owns the land.
Regulating	Water Board that is regulating the place.
Responsibility For	This relationship is used by the SSO module to relate the operator of a collection system to a spill from that collection system. This relationship cannot be selected manually.

[#] Conditionally required filed

Person to Place Relationships

Relationship	Description
Case Worker	Water Board staff assigned to the facility. Not appropriate for an organization.
Contact	External representative of a place. Not appropriate for an organization.
Interested Party	External person that has expressed interest in the place. For example, Environmental Organization or complainant.
Is A Data Submitter For	Person authorized to enter data into eSMR for the regulatory measure regulating the place. This should only be assigned by the system or the Help Center. Not appropriate for an organization.
Is Onsite Manager For	Person authorized to submit eSMR for the regulatory measure regulating the place. This should only be assigned by the system or the Help Center. Not appropriate for an organization.
Certified Operator	A person who is a certified operator or who functions in the same capacity at a wastewater treatment plant.
Pending – Is a Data Submitter For	A person that has requested to be a data submitter but has not yet been authorized.
Pending – Is Onsite Manager For	A person that has requested to be a data submitted but has not yet been authorized.

From the party screen, if a relationship is made to a place, that same relationship will be seen from the Related Parties Tab in the Place Module.
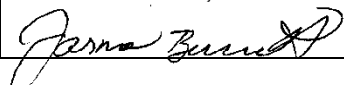

Related Violations
The Related Violations tab displays violations to which the party has been linked (regardless of the role/relationship assigned). The link cannot be made from the party module; it must be made from the violation module.

A maximum of 300 violations are displayed, with the number of violations displaying and the total number of violations linked to the party shown at the top of the page. The default sort order is reverse chronological, but the user can chose other columns by which to sort.

Related Regulatory Measures
The related regulatory measure tab displays regulatory measures to which the party has been linked (regardless of the role/relationship assigned). The link cannot be made from the party

module; it must be made from the regulatory measure module. The effective dates column displays the effective and termination dates of the regulatory measure.

APPROVAL SECTION			
Approver	**Printed Name**	**Signature**	**Date**
Business Rules Team	**Committee Members Present**	**Approved as Meeting Agenda Item**	**5/7/2013**
CIWQS Quality Assurance Lead	**Eric Maag**		**5/7/2013**
Statewide CIWQS Coordinator	**Jarma Bennett**		**5/7/2013**

Summary of Changes

Version	Summary of Major Changes	Date
1	Original version controlled document	2/9/09
2	Naming Conventions added	5/17/10
3	Modified violation tab description, remove reference to operator certification number as a valid identifier, and added definition for "owner and operator" as a party/place relationship.	8/11/10
4	Added reference to CIWQS intranet page. Corrected tables in related parties tab section to reflect current dropdown menus.	2/6/12
5	Addition of FS and NF abbreviations	4/18/12
6	Addition of "responsibility for" as a party/place relationship	3/7/2013
7	Addition of explanation of party changes history and email; addition of "conditionally required" symbol to "operator and owner" organization/place relationship	5/7/13

Naming Conventions

- Case Type will be Title Case.
- Abbreviation will be title case and Acronyms will be all CAPS.
- A translator will filter all the data from CIWQS to have it display as ALL CAPITALS for use inAFBS.

County	Abbreviate with **Cnty**. Always state the name of the county first, as **San Luis Obispo Cnty** followed by department names, such as **Highway Dept**. Use **DPW** for Department of Public Works and **PWD** for Public Works Department. Abbreviate department as **Dept** but no periods after abbreviations.
City	Always use **Sacramento City**, **Monterey City** followed by department names, **Los Angles City DPW**. For cities with the word city in their name i.e. **Yuba City**, **Foster City** enter the name of the city followed by department names i.e. **Yuba City DPW**. Do not use the word city twice i.e. **Yuba City City DPW**.
Federal Agencies	Abbreviate **US** without periods but spell out the agency name in full, such as **US Air Force**, **US Postal Service**, etc. **US Army Corps of Engineers** (no Abbreviations), **US Bureau of Reclamation**. Use **AFB** for Air Force Base **Travis AFB** and **FT** for Army forts **FT Ord**. Use **FS** for **Forest Service** and **NF** for **National Forest**.
California State Agencies	Abbreviate the State California to CA before the name of the agency such as **CA Dept of Water Resources** spelled out in full (Department must be abbreviated, no period after the abbreviation). Use ampersand, i.e. **CA Dept of Parks & Recreation.** Use **CA Dept of Transportation** instead of CALTRANS.
Special Districts	There are many very common types of special districts we deal with. Use the full name followed by an abbreviation for the type, if common, without periods: County Water District – CWD County Sanitation District – CSD Sanitary, Sanitation District –SD Sanitary Waste District – SWD Flood Control District – FCD Community Services District – CMSD Flood Control & Water Conservation District – FC&WCD Irrigation District – ID Water Replenishment District – WRD Water Conservation District – WCD Municipal Utility District – MUD Homeowners Association – HA Property Owners Assn – POA County Service Area – CSA Public Utility Commission – PUC

Private Individuals	Use last names, followed by first names, such as **Schwartz, Herman & Ethel**. & must be used for and. If the company's legal name is a person's name i.e**. John Smith Co**, do not put the last name first i.e. Smith, John Co. If the company name consists of a list of names i.e. **Hunter, Richey, Benedetto & Murray**, then input the first two names and use **et al** to stand for the remaining i.e. **Hunter, Richey et al**. Also do not use titles such As **Owner, Partner, Mr., Mrs., Ms.** Etc.
Utilities	Spell out the name of utilities in full, no abbreviations except for abbreviations that are allowed for Municipal Utility District (**MUD**): Pacific Gas & Electric Southern California Edison Sacramento Mud *Do Not Use SMUD* East Bay MUD San Francisco PUC
Commercial	Spell out names in full, using abbreviations for common types, such as: Mobile Home Park – MHP Recreational Vehicle Resort – RV Resort Manufactured Home Community – MHC Railroads should be spelled out in full: • Southern Pacific Railroad • Union Pacific Railroad
Public Universities	University of California should be abbreviated as UC followed by name of city: UC Davis, UC Los Angeles, UC Berkeley. California State Universities should be abbreviated as CSU followed by name of city: CSU Sacramento CSU Northridge
Private Universities	Spell out full legal name. University may be abbreviated as Univ: Loyola Marymount Univ Univ of The Pacific If the name of a company has the word University in it i.e. University Towing, full name must be spelled out no abbreviations.
Community Colleges	Abbreviate College District as CD Abbreviate Community College District as CCD: Los Rios CCD Spell out full name of college: American River College Sacramento City College
School Districts	Spell out full name of school district and abbreviate the school district as SD: Sacramento Unified SD or the high school district as HSD: Grant Union HSD
Numbers in Business Names	Use number characters in a company name when appropriate (as represented in its legal name):

	Motel 6, Century 21 Real Estate.
Home Builders	Use KB Homes (no spaces or periods between KB) not Kaufman & Broad. Please do not specify any divisions i.e. Central Valley Division, Coastal Division etc. In the Billing address only have the responsible parties name: K Hovnanian, not K Hovnanian / Forecast Homes.
DBA (Doing Business As)	Use responsible party's name in billing name, do not list the DBA name. DBA name may be listed in facility name.
Initials in Business names	If the legal name of the business consists of initials and an ampersand (&) use the initials with spaces between the initials and the ampersand i.e. A & A Carpets, E & J Gallo. If the name consists of initials or initials and numbers with no ampersand, do not put any spaces i.e. CB Richard Ellis Real Estate, A1 Transmission